

I. Level of Care

	DHMH	LAH	Case Management Contractors
A. An evaluation for level of care is provided to all applicants for whom there is reasonable indication that services may be needed in the future.			
Specific Responsibilities by Agency	1. Audit sample of records to ensure contractor who determines LOC is making the correct decisions (Div of LTC)	1. Refer applicants to case management agency for LOC 2. Monitor case management agency for performance in coordinating annual medical eligibility determination. 3. Sample record review to ensure participants meet LOC.	1. Coordinate applicant's LOC determination. 2. Initiate re-evaluation of the participant's LOC when significant changes occur in the health status.
Frequency	Quarterly	Annually	Initially, As needed
Staff Responsible	Division of LTC	LAH staff	Contracted Case Manager

	DHMH	LAH	Case Management Contractors
B. Enrolled participants are reevaluated at least annually or specified in the approved waiver			
Specific Responsibilities by Agency	1. Audit sample of records to ensure contractor who determines LOC is making the correct decisions.	1. Refer applicants to case management agency for LOC 2. Monitor case management agency for performance in coordinating annual medical eligibility determination. 3. Sample record review to ensure participants meet LOC.	1. Coordinate participant's annual LOC redetermination. 2. Initiate re-evaluation of the participant's LOC when significant changes occur in the health status.
Frequency	Quarterly	Annually	Annually, As needed
Staff Responsible	Div. of LTC	LAH staff	Contracted Case Manager

	DHMH	LAH	Case Management Contractors
C. The process and instruments described in the approved waiver are applied to determine LOC			
Specific Responsibilities by Agency	<ol style="list-style-type: none"> 1. Adult Evaluation and Review Services (AERS) performs an initial evaluation of the individual. 2. AERS conducts in person visit 3. AERS develops a provisional plan of care (POC) and completes the DHMH 3871B for the determination of medical eligibility 4. The DHMH 3871B and AERS evaluation is submitted to the Department's contractor to evaluate the individual's medical eligibility. 		
Frequency	Ongoing		
Staff Responsible	AERS, Div. of LTC		

	DHMH	LAH	Case Management Contractors
D. The State monitors LOC decisions and takes action to address inappropriate LOC determinations.			
Specific Responsibilities by Agency	<ol style="list-style-type: none"> 1. Audit sample of records to ensure contractor who determines LOC is making the correct decisions. 2. If an applicant or participant is denied LOC, a denial will be issued with right to appeal and right to request a fair hearing. 		
Frequency	Quarterly, ongoing		
Staff Responsible	Div of LTC, DEWS		

II. Individual Plan

	DHMH	LAH	Case Management Contractors
A. Individual Plan addressed all participants' assessed needs (including health and safety risk factors) and personal goals, either by waiver services or through other means.			
Specific Responsibilities by Agency	1. IOC Team reviews sample of participants' POS to ensure it includes services that AERS recommended. 2. IOC Team conducts survey with participant about their POC and quality of life.	3. Approves all waiver plans of service (POS) and revisions.	1. Case manager and participant develop an appropriate, comprehensive and cost-neutral POS utilizing AERS POC, and individual's preferences.
Frequency	Annually	Ongoing	Ongoing
Staff Responsible	IOC Team	LAH Staff	Contracted Case Manager

	DHMH	LAH	Case Management Contractors
B. The State monitors plan development in accordance with its policies and procedures and takes appropriate action when it identifies inadequacies in the development of individual plans.			
Specific Responsibilities by Agency	1. IOC Team reviews sample of participants' POS to ensure it includes services that AERS recommended. 2. IOC Team conducts survey with participant about their POC and quality of life.	1. Approves all waiver plans of service (POS) and revisions. 2. If inadequacies are identified in the development of the POS, LAH will provide technical assistance to case manager to ensure POS is appropriate.	1. Participate with DWP and LAH in monthly case management meetings to discuss ongoing issues.
Frequency	Annually	Ongoing	
Staff Responsible	IOC Team	LAH Staff	

	DHMH	LAH	Case Management Contractors
C. Individual Plans are updated/revised when warranted by changes in the waiver participant's needs.			

Specific Responsibilities by Agency	3. IOC Team reviews sample of participants' POS to ensure it includes services that AERS recommended. 4. IOC Team conducts survey with participant about their POC and quality of life.	1.Approves all waiver plans of service (POS) and revisions.	1. AERS may perform an assessment or review if necessary when a participant's health status or service needs change. 2. POS may be modified to reflect changes in the participant's health status.
Frequency	Annually	Ongoing	Ongoing
Staff Responsible	IOC Team	LAH Staff	

	DWP	LAH	Case Management Contractors
D. Services are delivered in the type, scope, amount, duration and frequency and are delivered in accordance with the individual plan.			
Specific Responsibilities by Agency	SURS reports IOC	Claims What does Alyce do?	What does TCC do?
Frequency	Annually	Ongoing	
Staff Responsible	IOC Team	LAH Staff	

	DWP	LAH	Case Management Contractors
E. Participants are afforded choice: between waiver services and institutional care and between/among waiver services and providers			
Specific Responsibilities by Agency		1. Provide information to waiver case managers on participant rights and the process for completing the Participant Consent Form. 2. Review a random sample of participant records for freedom of choice.	1. Inform the applicant of the choice of institutional or waiver services at time of enrollment. 2. Assist applicant in completing the consent form. 3. Give applicant a list of providers for each service listed in POS to choose. 4. If a participant wants to change providers, give participant a list of providers for each service listed in POS to choose.

Frequency		Ongoing	At time of enrollment, As needed
Staff Responsible		LAH	Contracted Case Manager

III. Qualified Providers

A. The State verifies on a periodic basis, that providers meet required licensing and/or certification standards and adhere to other State standards.			
Specific Responsibilities by Agency	1. Writes and revises waiver and its regulations as necessary.	1. Review provider applications to verify that the provider applicant meets COMAR 10.09.55 requirements for provider enrollment, and additional certification requirements where applicable. 2. Maintain information, including listing of enrolled providers and disenrolled providers through a Provider Database. 3. Give case management agency a monthly updated list of all enrolled waiver providers. 4. Notify providers that credentials are due to expire. Proof of updated credentials must be submitted to continue provider participation.	
Frequency	Ongoing	Ongoing	
Staff Responsible	DWP	LAH	
	DWP	LAH	Case Management Contractors
B. The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.			

Specific Responsibilities by Agency	There are no non-licensed or non-certified providers who provide waiver services.		
Frequency			
Staff Responsible			

	DWP	LAH	Case Management Contractors
C. The State identifies and rectifies situations where providers do not meet requirements.			
Specific Responsibilities by Agency	1. Sanction/Disenroll providers who no longer meet provider qualifications.	1. If providers do not update credentials timely, they will be placed on inactive status or disenrolled.	
Frequency	Ongoing	Ongoing	
Staff Responsible	DWP	LAH	

	DWP	LAH	Case Management Contractors
D. The State implements its policies and procedures for verifying that training is provided in accordance with State requirements and the approved waiver.			
Specific Responsibilities by Agency	<ol style="list-style-type: none"> 1. Conduct provider training two times annually. 2. Seek feedback from trainees on the effectiveness of training through a survey. 3. Send transmittals to providers informing them of changes to waiver policy, requirement and procedures to waiver providers 		
Frequency	Ongoing		
Staff Responsible	DWP		

IV. Health and Welfare

	-DWP	LAH	Case Management Contractors
A. The State on an ongoing basis identifies and addresses and seeks to prevent instances of abuse, neglect and exploitation.			
Specific Responsibilities by Agency	<ol style="list-style-type: none"> 1. Respond to incidents and complaints regarding the health and welfare of waiver participants through the Reportable Event policy and process. 2. Review quarterly reports. 3. Conduct participant satisfaction survey with recipient during IOC visit. 4. Collect and analyze results from the participant satisfaction surveys conducted by IOC Team. 	<ol style="list-style-type: none"> 1. Respond to incidents and complaints regarding the health and welfare of waiver participants through the Reportable Event policy and process. 2. Review all Reportable Events to determine which need further action. 3. Follow up on all Reportable Events within required timeframes. 4. Develop RE monthly and quarterly reports identifying trends, training issues and recommendations for quality improvement. 5. Analyze IOC survey results and follow-up plan to address concerns identified in participant survey. 	<ol style="list-style-type: none"> 1. Respond to incidents and complaints regarding the health and welfare of waiver participants through the Reportable Event policy and process. 2. Inquire about client satisfaction with services.
Frequency	Ongoing	As needed	Ongoing
Staff Responsible	IOC team and DHMH staff	DHMH-LAH staff	Contracted Case Managers

V. **Administrative Authority**

	DWP	LAH	Case Management Contractors
A. The Medicaid agency or operating agency conducts routine, ongoing oversight of the waiver program.			
Specific Responsibilities by Agency	<ol style="list-style-type: none"> 1. IOC 2. RE analysis 3. SURS 	<ol style="list-style-type: none"> 4. Alyce 5. Don 	What does TCC does do?

Frequency			
Staff Responsible			

VI. Financial Accountability

	DWP	LAH	Case Management Contractors
A. State financial oversight exists to assure that claims are coded and paid in accordance with the reimbursement methodology specified in the approved waiver.			
Specific Responsibilities by Agency	<ol style="list-style-type: none"> 1. Monitor service use and expenditures for waiver participants through the use of reports and service utilization review subsystems (SURS). 2. Investigate discrepancies in services billed to services authorized through on-site review of participant or provider. 3. Recover funds for services received but not authorized. 4. Submit CMS-372 reports annually. 5. Produce and review financial reports. 	<ol style="list-style-type: none"> 1. Utilize reports to compare services authorized to services billed. 2. Notify case managers of any discrepancies identified. 3. Notify DWP of any billing discrepancies. 4. Assure each waiver participant is under the cost neutrality limit. 5. Use financial reports to track participant expenses. 	<ol style="list-style-type: none"> 1. Calculate cost neutrality when POS is developed, revised, or reviewed.
Frequency	<ol style="list-style-type: none"> 1. Ongoing 2-3. As needed 	Ongoing	
Staff Responsible	DWP staff	DHMH-LAH staff	